VALLEY LIBRARY CONSORTIUM BIBLIOGRAPHIC DATABASE STANDARDS

I. PURPOSE AND GOVERNANCE OF THE DATABASE CONTROL COMMITTEE

The purpose of the Database Control Committee, herein after referred to as the Committee, is to oversee the management of the Valley Library Consortium (VLC) database in order to further the mission and goals of the VLC and ensure that data entered conforms to mutually agreed upon standards.

Under the authority of the Administrative Council, herein after referred to as the Council, the Committee shall be responsible for developing, recommending, and establishing policies, priorities, and procedures for the building and maintenance of the Valley Library Consortium database. The Committee will have the authority to review, approve, and if necessary, reject the entry or utilization of any format for any member library, which does not conform to the standards established by the Committee. Further, the Committee shall have the authority, with the approval of the Council, to review, approve, reschedule, modify, and if warranted, reject any member library's project or program. The Committee will address control of special projects, such as major MARC loading or borrower mailing notification, which threaten to hinder effective response time

Committee recommendations will be enforced by the Council to ensure the integrity of the database. Member libraries shall have the right to appeal to the Council any recommendation made by the Committee.

The Committee shall consist of one representative from each VLC member library. The appropriate VLC staff members shall serve as ex officio members. The officers will consist of the Chair and the Chair-Elect. The Chair shall be responsible for setting the agenda and conducting the meeting. The Chair-Elect shall serve as Chair in the Chair's absence. All decisions must be reached by majority vote of the Committee members present, with seven members representing a quorum and each member having one vote. The Committee shall have the authority to establish sub-committees and task forces.

The Council may add or alter representation on the Committee to reflect new membership or other changes within the Consortium. The Committee may invite staff members from prospective libraries to attend Committee meetings.

II. AUTHORITY TO ENTER BIBLIOGRAPHIC RECORDS IN THE VLC DATABASE

Members are responsible for adding MARC bibliographic records for all items entered into the system. All members adding records to the VLC database must use a committee-approved cataloging utility (e.g. OCLC) and/or institution (e.g. White Pine Library

Cooperative). Alternatively, participating libraries may enter original bibliographic records if the following conditions are met:

A. Use approved MARC formats.

B. Use the latest editions of the following cataloging tools, as needed. (Some of these tools are available on the web.)

    1. Descriptive Cataloging
       a. *Anglo-American Cataloging Rules*
       b. *Library of Congress Rule Interpretations*

    2. OCLC's *Bibliographic Formats and Standards*

    3. Classification scheme *(as appropriate to the member library)*
       a*. Library of Congress Classification*
       b*. Dewey Decimal Classification and Relative Index*
       c. ANSCR (*Alpha-numeric System for Classification of Recordings)*
       d*. National Library of Medicine Classification*
       e. Superintendent of Documents number
       f. Locally defined classification system may be used

    4. Subject Headings *(as appropriate to the member library)*
       a. *Library of Congress Subject Headings (LCSH)*
       b. "Annotated Card Program" contained in LCSH (Children's subject headings)
       c*. Medical Subject Headings (MESH)*
       d. Other Library of Congress-approved thesauri

C. Participate in a Committee-approved catalog training course.

D. Members wishing to enter original MARC cataloging into the VLC database and to have access to the authority files for the first time are required to follow the procedures as outlined in Procedures, I.A.

E. VLC member staff cannot load original cataloging records from OCLC to Horizon unless they are authorized to do original cataloging on the VLC system.

III. AUTHORITY TO ALTER BIBLIOGRAPHIC RECORDS IN THE VLC DATABASE

Members are responsible for editing bib records in the database to conform to current Anglo-American Cataloging Rules and Library of Congress Subject Headings. Participating libraries are responsible for training staff to alter or edit bib records. Individuals may alter or edit bib records if the following conditions are met:

A. Use MARC records loaded from an approved utility and/or institution.

B. Use the latest editions of the following cataloging tools

1. *Anglo-American Cataloging Rules*
2. OCLC's *Bibliographic Formats and Standards*
3. Classification tools from the list above in Section II. B. 3

C. Participate in a Committee-approved catalog training course

IV. BIBLIOGRAPHIC RECORD FORMATS **(**The following Horizon formats are approved for use)

A. Full MARC Records (Full MARC records are to be input for the majority of the materials in the VLC database.)

1. The descriptive cataloging of complete records must comply with current *Anglo-American Cataloging Rules*, the *Library of Congress Rule Interpretations*, and *Library of Congress Subject Headings*.

2. Records must be encoded in the OCLC-MARC format, which uses the 001 field for the OCLC number. All fields indicated as mandatory or required in the OCLC level I input standards, including fixed fields, must be filled in completely and accurately.

3. Cataloging and coding variations for different types of materials must be followed. The standards to be followed are found in the latest editions of the OCLC manuals.

4. The 040 field containing the cataloging library's three (3) letter code in subfield a must be present on all records cataloged originally by VLC member libraries on Horizon. Libraries must enter their 3 letter code in subfield d of the 040 when editing records that do not already have the 040 tag.

5. VLC MARC Tag Requirements for all records:

   001   control number (OCLC control number or three letter location code, ddmmyyyy, and horizon bib number)
   007   all subfields as appropriate
   008   (fixed field information) - as appropriate to the format
   010   subfield a: (LCCN) – when applicable
   020   subfield a: (ISBN) – when applicable
   022   subfield a: (ISSN) – when applicable
   040   subfield a (when original), subfield d (when editing)
   086   subfield a: (government documents classification number) – when applicable
   1xx   subfield a: (author) – when applicable; other subfields as needed
   245   subfield a: (title) – other subfields as needed
   260   subfields a,b,c (publisher information) (archival cataloging requirements may differ)
   300   subfields a, c (physical description) – *except for remote access only records*

856   Electronic PURL or URL – required only for remote access records

6. All new MARC records loaded, from whatever source, must be reviewed and brought up to standards once in Horizon by the VLC member attaching the first circulating item.

7. Order of preference for bibliographic records: 1. OCLC, 2. SuperCat, 3. The most complete full MARC record.

8. Remote-access links. The library attaching the first item to the bib containing a link to an electronic document or page is responsible for maintaining an existing 856 tag (Electronic Location and Access tag) or removing a non-functioning tag from the bibliographic record.

Local item records must clearly indicate that the item is not available in physical format and the ITYPE must be one that will not allow holds to be placed on the item

B. Horizon Short MARC (Generic) Records

Bibliographic records in less than full-MARC format are acceptable for certain kinds of ephemeral materials. Complete access is not available for these materials, but some kind of record must be in the database for circulation purposes. Libraries may create agency specific generic bibliographic records. Libraries wishing to attach items to these bibliographic records must follow the examples provided in the Procedures. These records will be designated as "staff only" and will not appear in the public catalog.

Records are available for the following items:

Annual report
Artwork
College catalog
Comic book
Equipment
Game
In-house use item
Interloan item
Map
Newspaper
Pamphlet
Paperback
Phono record
Picture
Puppet
Puzzle
Travel
Vertical file

C. Horizon Fast-add Records

Fast-add records are to be used only for circulating materials that have not yet been cataloged. At checkin the Fast-add record will be automatically deleted from the system and a message to that effect will appear on the screen. The Fast-add title will be entered in ALL CAPITAL LETTERS with –FA at the end of the title. Fast-add records will not be permitted to remain on the system longer that 120 days and they will be deleted periodically by VLC. Member libraries are responsible for seeing that Fast-add items are properly cataloged on MARC records. Items circulated on Fast-add records should not have a loan period longer than 90 days.

D. Pre-publication MARC Records from approved utilities

Institutions may load pre-publication MARC records from approved utilities for titles they expect to receive. Libraries may attach their anticipated items to these records.

It is the responsibility of the library attaching the first barcode item for an item available for use to upgrade the record once the item has been received. If the item is NOT received, the bibliographic record must be deleted unless other libraries have attached items.

Libraries that have attached items to a pre-pub bibliographic record must upgrade the items record if the item is received or delete the items record if the item is not received.

E. Acquisitions records

Pre-publication MARC vendor order records may be loaded or non-MARC records may be created for use with acquisitions. Records loaded or created for use with this module must be replaced.

F. Reserve item records

Libraries using Horizon Reserves may create records for reserve items as needed. All information added for reserve items must be in all CAPITAL LETTERS. This includes instructor names, author names, call numbers, course ID's, and titles and authors of personal items.

V. AUTHORITY CONTROL

A. Name, Uniform Title and Series Headings

Personal, corporate, and conference names, uniform titles, and series names must follow current AACR standards, as adopted by LC. If LC has not established a particular name form, the cataloging library should do so, following current AACR and LC practice. In the case of name/title headings, the title portion should be formatted to uniform title procedures.

B. Subject Headings

Each library must use the current LC Subject Headings when assigning subjects to items.

All subject headings must be encoded with the proper indicator, in the OCLC-MARC format, in order to keep each system of headings separate.

C. VLC will provide ongoing authority control

VI. SERIAL VS. MONOGRAPHIC RECORDS

A. Definitions

1. AACR2 defines a monograph as "a nonserial item, i.e., an item either complete in one part or complete, or intended to be completed, in a finite number of separate parts."

2. A serial is defined as a "publication in any medium issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely."

3. A series is defined as a "group of separate items related to one another by the fact that each item bears, in addition to its own title proper, a collective title applying to the group as a whole. The individual items may or may not be numbered."

B. When in doubt as to which format to select, VLC institutions should choose the serial format.

C. If the various volumes of a serial contain different information, the library may choose instead to use a monographic record for each volume and then add the appropriate series statements to each record.

D. When adding an item to a serial bib record, a copy record is required for the library.

E. Do not add copy records to monographic bib records.

VII. DATABASE MAINTENANCE

VLC staff shall have the responsibility of coordinating the database input efforts of the individual institutions. Members of the VLC will locate, report and resolve problems following the procedures established by the VLC.

It is the responsibility of all VLC members to maintain the highest quality bibliographic database. Members must either correct database errors or consult with other affected

libraries when in doubt. Recurring or consistent problems should be reported to the Database Chair. When a member is unable to make the correction, refer to the "Reporting Forms" (Procedures, I. F.)

A. Merging Records

   1. All unique information must be retained and placed on the bib record being saved.

   2. For any distinctive bibliographic work there should be only one record in the database. VLC libraries are expected to follow the guidelines determining what constitutes a distinctive bibliographic work that are provided in the most recent edition of OCLC's *Bibliographic Formats and Standards.*

   3. Merging should be performed on a timely and ongoing basis. Institutions without the ability to merge records should report duplicate title records to the VLC.

   4. Priority of Bibliographic Records in the Database
      a. OCLC
      b. SuperCat
      c. The most complete full MARC record

B. Deletion of Records

   1. Any time an institution withdraws an item from its collection, authorized personnel at that institution must delete the appropriate items record in a timely manner.

   2. Any time an institution has deleted the last items record attached to a bibliographic record, the authorized personnel of that institution MUST delete the bibliographic record.

   3. The Committee may recommend system-wide purges of the bibliographic database.

VIII. ENFORCEMENT

The official Database Representative is responsible for monitoring and enforcing these standards at her or his institution. Recurring or consistent problems should be reported to the Database Chair. If the institution continues to deviate from the standards, the Committee will discuss the issue and, if necessary, vote whether to submit a formal recommendation to the institution. If the problem persists, it will then be brought to the attention of the Council for final dispensation.

IX. ACQUISITIONS RECORD STANDARDS -- Creating the Acquisitions Order Record

A. Authority to enter or alter information in acquisitions

The authority to enter or alter information in acquisitions will be based on the member library successfully completing acquisitions training. If a member library fails to comply with these standards it will be brought to the attention of the Database Committee.

B. Author field (will appear in the catalog)

When entering an author, type in the full name of the author in all capital letters with last name first, followed by a comma, followed by the first name, followed by two (2) hyphens and ACQ. (LAST NAME, FIRST NAME--*ACQ*) Do not include dates or titles.

Examples: FRANCIS, DICK--*ACQ*
STOUT, REX--*ACQ*

When downloading an acquisitions record from a vendor source, the existing author should be followed by two (2) hyphens and ACQ.

C. Title field (will appear in the catalog)

When entering the title, type it in all capital letters. Follow it with two (2) hyphens and ACQ to signify that it is an acquisitions title. Do not put a space between the words and the hyphens. Do not include initial articles (a, an, the) in the title.
Examples: ADVENTURES AT VLC--ACQ
GOING TO THE LIBRARY—ACQ

When downloading an acquisitions record from a vendor source, the existing title should be followed by two (2) hyphens and ACQ.

D. Editions field (will appear in the catalog)

When entering an order record from an item other than a regular print item, enter one of the following terms (IN ALL CAPS) in the edition field:

CASSETTE	DVD-ROM
CD/DVD	LARGE PRINT
CD-ROM	MP3
COMPACT DISC	VIDEOCASSETTE
DVD	

E. Other bibliographic information

Fill in as much other bibliographic information as possible. Not only may this aid in ordering, but it could also prove helpful to the borrowers.

X. SERIALS RECORD STANDARDS

A. Purpose of serials

The purpose of serials is to allow the VLC member libraries to have online access to their serials holdings and to have the ability to exercise descriptive control over them

B.   Authority to enter or alter information in serials

The authority to enter or alter information in serials will be based on the member library successfully completing serials training. If a member library fails to comply with these standards it will be brought to the attention of the Database Committee.

C.   Database Maintenance

1. Responsibility

The member library will be responsible for complying with the standards for the serials records.

If a member library chooses not to participate in serials, it is still their responsibility to inform the VLC staff of changes in serials information for those serial titles held by their institutions and included in the VLC database.

2. Serial Bibliographic Records

Full MARC records are to be input for all serials cataloged on the HORIZON system. The standard Horizon serials displays are adaptations of the ANSI Z39.44 standard. When adding a copy record to a serials bibliographic record the member library should use the text serials bibliographic record. When the text record is not available, the bibliographic record in the format for the item in hand should be used.

For those serials received on a daily and weekly basis that migrated, the location information was entered in the title field 245 subfield a. This required separate bibliographic records. The location information is in the city/branch format.

e.g. SAGINAW/HOYT

Serial bibliographic records require the use of the Serials Format as defined in *USMARC Format for Bibliographic Data* or OCLC's *Bibliographic Formats and Standards*, utilizing the standards established in the current edition of the *Anglo-American Cataloging Rules*.

3. Authority Control

In addition to the standards outlined below, the standards as established by the Database Control Committee for monographs also apply for serials. Each member library is required to follow those standards.

4. Each member library actively receiving a serial will establish its own publication pattern.

XI. COMMUNITY RESOURCES RECORD STANDARDS

A. Authority to Enter and Alter Records in Community Resources (CR)

1. Community Service Organizations Database

a. Any member library may enter data in this file if the following conditions are met:

i. Libraries must conform to the approved data entry procedures as described in the Community Service Organizations Procedures. Anyone working on data entry must participate in VLC approved training.

ii. Libraries must use the current edition of the Horizon *Community Resources User's and Administrator's Guide*.

iii. Libraries must use the current edition of the *Taxonomy of Human Services* and the most recent supplements.

iv. Libraries must use the Library of Congress format for geographical subject headings.

v. Each member library is responsible for adding, changing and deleting its own records. A member library may not edit or delete any record input by another member. Requests or changes must be sent to the library, which originally input the data.

b. Database Maintenance of the Community Service Organizations File

i. Each member institution is responsible for soliciting, inputting and updating information about local clubs and service organizations. In cases where these overlap service areas, the libraries must check the Horizon database for existing records.

ii. Each member institution must update information at least every year.

iii. If information is not updated within two (2) years, the record for that organization will be deleted by the VLC.

c. Enforcement

i. Each institution is responsible for designating one individual to monitor and enforce the standards at her or his institution. If an individual notes an error in the CR record that originated at another institution, that individual may not edit or correct it. Contact the originating institution about the error.

ii. The designated staff member at the originating institution will then edit/correct the error within two weeks of the initial complaint.

iii. If the institution continues to deviate from the standards the CR Committee will discuss the issue and, if necessary, vote whether to submit a formal recommendation to the Database Committee. If the problem persists, it will then be brought to the attention of the Administrative Council.

2. Newspaper Indexing Standards

a. Any member library may enter data in this file if the following conditions are met:

i. Libraries must conform to the approved data entry procedures as described in the Newspaper Index procedures. Staff must attend a VLC approved training class.

ii. Each library is responsible for making its own written policy governing what is and is not indexed from its local paper. Each library will be responsible for providing a copy to VLC for distribution to the members.

iii. Libraries must use the current edition of the *Library of Congress Subject Headings*.

iv. Libraries must use the current edition of the *Anglo-American Cataloging Rules*.

b. Enforcement

i. Each institution is responsible for designating one individual to monitor and enforce the standards at her or his institution. If an individual notes an error in the CR record that originated at another institution, that individual may not edit or correct it. Contact the originating institution about the error.

ii. The designated staff member at the originating institution will then edit/correct the error within two weeks of the initial complaint.

iii. If the institution continues to deviate from the standards the CR Committee will discuss the issue and, if necessary, vote whether to submit a formal recommendation to the Database Committee. If the problem persists, it will then be brought to the attention of the Administrative Council.

VALLEY LIBRARY CONSORTIUM BIBLIOGRAPHIC DATABASE PROCEDURES

I. BIBLIOGRAPHIC RECORDS

  A. Authority to create original bibliographic records and to alter or create authority records in the VLC Database

    1. Any staff member entering records for the first time in the VLC database should prepare ten records for a subcommittee of the Database Committee to review. It is suggested that records for all formats should be submitted for review (books, videos, talking books, serials, and any other format that the person may need to catalog).

    The subcommittee should consist of three people with cataloging expertise, appointed by the Database Committee Chair. The subcommittee will work in conjunction with the VLC staff. The VLC will give the staff member access to the authority files so that records can be submitted.

    2. When a request is submitted to VLC Database Committee for approval, the VLC Database Committee appoints a subcommittee of catalogers to review the candidate's bibliographic records.

    3. Subcommittee contacts candidate to review the timetable and expectations

    4. Candidate has 30 days from the subcommittee contact to submit 10 original records, in a variety of formats, to the subcommittee.

    5. Subcommittee has 2 weeks (excluding holidays, vacations, and emergencies) to review the records and arrange a meeting to discuss their findings.

    6. If there are any errors, the candidate has 2 weeks to correct any errors or deficiencies in the records.

    7. Subcommittee has 2 weeks to review the corrected records.

    8. If the subcommittee approves the cataloging, or the corrected cataloging, of the first 10 records, the Database Committee will be notified that the subcommittee recommends approval of the candidate.

    9. Should the subcommittee not approve the candidate's cataloging, the candidate will be asked to catalog an additional 10 records, in a variety of formats. The candidate will have 2 weeks to submit the additional 10 records.

    10. At this point, the subcommittee may recommend approval of the candidate, or the candidate may be denied approval. If denied approval, the candidate may re-apply in

6 months.

B. When to Add or Create a New Record

To avoid creating duplicate records you must check the Horizon system first, USING EVERY SEARCH POSSIBLE (i.e. author, title, ISBN, LCCN) before adding or creating a new record.

As a general rule make decisions based on practices stated in OCLC's *Bibliographic Input Standards*. When this source lacks sufficient information, consult the following guidelines.

1. Edition Statements

   a. When all other essential bibliographic components of the record match the book in hand, Book Club edition statements and 1st edition statements should be ignored (based on OCLC's *Bibliographic Formats and Standards*, Section 4.2, 250 $a. This means that a new record for a Book Club edition should be entered only when there is a difference in other bibliographic data (usually pagination or size.)

   b. Publisher edition statements (Bantam Books, Jove Books, etc.) are of less importance and do not warrant separate records if all other bibliographic data is an identical match.

   c. Statements about subsequent editions (i.e., 2nd, rev., etc.) and special editions (i.e., 1st American, Deluxe, Vintage, etc.) are important and should be present in the bibliographic record. The absence of such a statement warrants the addition of a new record in the database.

   d. Paperbacks -- When all other essential bibliographic components of record match the item in hand, a new record for a paperback edition does NOT need to be added. This means that a new record for a paperback should be entered ONLY when there is a difference in other bibliographic data (usually publisher, date, or collation).

2. Date Discrepancies

   Be alert to a date on the front of a title page, which may be a printing date. You can usually tell what it is by comparing it with information given on the back of the title page. If in doubt, assume the date on the front of the title page to be the publication date.

   a. Publication/Printing Dates -- Publication dates are the key dates for proper record matches. Printing dates should be ignored unless content changes have been noted, such as, "Reprinted with revisions, 1986."

b. Copyright/Copyright Renewal Dates -- Follow LC Rule Interpretation 1.4F5 [rev], which says: "Ignore copyright renewal dates for works first copyrighted before 1978." In other words, use the original copyright date.

But, if the record in the Horizon database contains both dates (or only the later date), go ahead and match to that record. Do not enter a new record just to get one, which follows the new practice. Do not remove the copyright renewal date.

C.   When a Record Must Be Edited

Editing of records already in the database should be done only by those VLC members' staff authorized to do so. (See VLC Bibliographic Database Standards, Sec. II and Sec. III) Editing is done to add information and/or to correct existing information. Some examples are as follows:

1. Upgrade pre-publication records (See Sec. IV.D of the VLC Bibliographic Database Standards.)

2. Correct typographical errors, especially those that affect indexing and record retrieval such as misspellings in author, title or subject fields.

3. Correct wrong or missing punctuation, diacritics, spacing, etc.

4. Correct errors made in MARC tagging, subfield codes, fixed field codes, indicator values, etc.

5. Add information (e.g. subject headings, ISBN, added entries, linking entries for serials, call number fields etc.), not already present in the record.

6. Add alternative titles (246 MARC tags) for numerical titles containing hyphens. (For example the title <u>1-2-3 magic</u> needs a 246 for <u>1 2 3 magic</u> and for <u>1,2,3 magic</u>.)

7. Update incorrect or outdated name forms or subject headings. (See Sec. V of the VLC Bibliographic Database Standards.)

D. Name/Subject Authority

Choice of entries should be made according to the latest edition of AACR with particular attention being paid to rules 22.2B1 - 22.2B4 that cover various situations concerning pseudonyms. The form of the name should be consistent throughout the database. (Example: Smith, John H. or Smith, J.H. or Smith, John Henry or Smith, John H., 1934-)

Those libraries with access to a bibliographic utility will consult that utility's authority file to determine the correct form of the heading. That heading will then be automatically added to the Horizon Authority file, if it is not already present, when the record is loaded.

Libraries without a bibliographic utility will search the Horizon database using the AUTHOR or SUBJECT Authority search to determine if the heading has already been entered. If the heading has not already been entered in Horizon, verify the heading in reference sources. If the form is not verifiable, submit the desired heading to the VLC for entry.

E. Serial vs. Book (Monograph) Records

Monograph – A nonserial item (i.e. an item either complete in one part or complete, or intended to be completed, in a finite number of separate parts.

Serial -- a publication in any medium issued in successive parts bearing numeric or chronological designations and intended to be continued indefinitely. Serials include periodicals; newspapers; annuals (reports, yearbooks, etc.); the journals, memoirs, proceedings, and transactions, etc. of societies.

1. Look at the item. If there is a date (1989, June, 1990); edition (Ed. 12, 14th ed.); or volume designation on the cover, spine, or title page, then it is probably a serial and should be cataloged as one. If not, it is probably a monograph.

2. Look at the verso of the cover title page and/or at the editorial responsibility area. If there is an International Standard Serial Number (ISSN -- identified by its format: 4 digits\dash\4 digits (e.g., 0023-8976), then it is probably a serial and should be cataloged as one.

3. Look again at the verso of the cover title page or the editorial responsibility area. There may be an ISBN as well as an ISSN. Unfortunately, the presence or absence of an ISSN or ISBN on the verso is not conclusive proof that the item is a monograph or a serial.

4. You may search sources, such as *Ulrich's International Periodicals Directory*, for further verification.

F. Reporting Forms

Use the following forms when reporting database errors and/or duplicates to the VLC

VLC DUPLICATE RECORD REPORT FORM

LIBRARY_____

NAME OF PERSON REPORTING_____PHONE #_____

The following record(s) are duplicates of Horizon BIB # _____ by the author, _____ and with the title _____.
Duplicates:
HorizonBIB #   ISBN   OCLC#

1._____

2._____

Please fax (989.497.0918) or mail this form to the Valley Library Consortium, 3210 Davenport, Saginaw, MI 48602
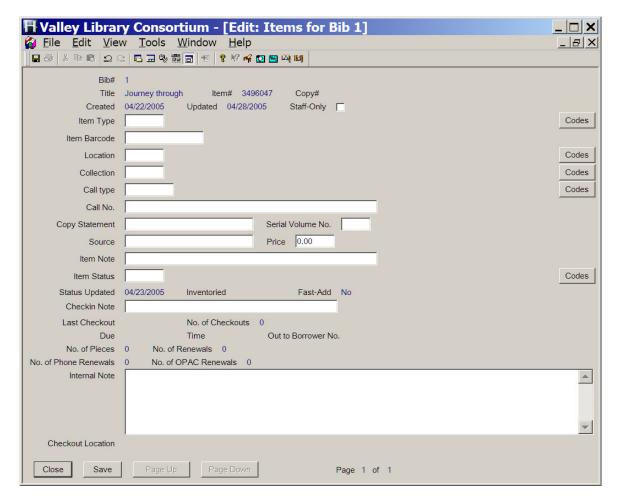
VLC ERROR REPORT FORM

LIBRARY_____
NAME OF PERSON
REPORTING_____PHONE#_____

Problem Horizon BIB #:_____title:_____

_____
Location of Problem(s):
            MARC tag #(s)   Subfield #(s)

1._____

2._____

Describe the nature of the problem(s) with the above record:

_____

_____

Please fax (989.497.0918) or mail this form to the Valley Library Consortium, 3210 Davenport, Saginaw, MI 48602

VLC CROSS REFERENCE REPORT FORM

LIBRARY_____

NAME OF PERSON
REPORTING_____PHONE#_____

Heading Currently in OPAC: Type of Reference Needed: Added Heading Needed:

(e.g. Babies   **See:**   **Infants)**

_____

_____

Please fax (989.497.0918) or mail this form to the Valley Library Consortium, 3210 Davenport, Saginaw, MI 48602

II. ITEM RECORDS

A. Direct Input to Horizon

Horizon Item Record

1. Title: The system automatically transfers the title from the bib record.

2. Item#: The system automatically supplies an item#.

3. Copy#: If the item is attached to a copy record, the system automatically supplies
       the copy record#.

4. Staff only: A check mark indicates that the item is only visible to the staff, not to the
       public.

5. Item Type: Enter a valid itype code for your location. Although you only need to
       enter the code, the Items screen automatically displays the full itype
       description.

6. Item Barcode: Enter a valid barcode for the item.

7. Location: If necessary enter a valid location code.

8. Collection: Enter one of your library's valid collection codes. Although you only need to enter the code, the Items screen automatically displays the full collection description.

9. Call Number: Include call number and any cutter. Type it exactly as you want it to appear in the catalog. The collection description will provide location information and will appear next to the call number in the public catalog.

   When adding items to generic records the following guidelines should be followed for this field.

   Annual report: Company name/Year
   Artwork: Artist/Title
   College catalog: Name of college
   Equipment: serial number
   Game: Name of item
   Map: Title/Description
   Newspaper: Title
   Pamphlet: Title
   Paperback: Author/Title
   Phono Record: Artist/Title
   Puppet: Name of item
   Puzzle: Name of item
   Travel: Name of Item
   Vertical file: Name of item

9. Copy Statement: The copy/vol statement displays after the call number on the same line.

   If the title is already available in Horizon, follow the established pattern. If the title is not available, then the pattern will normally be established using the following rules:

   a. Use the title page as the source of information.

   b. This volume specific information is most often used in open entry cataloging, such as serials, standing order, continuations, etc.

   c. Use the following abbreviations:

NAME	ABBREVIATION	EXAMPLE
1. edition	ed.	15th ed.
2. volume	v.	v.1
3. part	pt.	pt.1
4. number	no.	no.1
5. year	(none)	1991

6. copy number   c.   c.1

Example: COPY/VOL ($e)   15th ed. v.1 pt.1 no.1 1991 c.1

Small letters are used for all the above abbreviations. In most cases, there is no space between the abbreviation and the numbers and there is one space between each piece of information. When adding volume information only, add the necessary spacing to accommodate for filing.

The majority of items records will leave this subfield blank. However, if you use copy numbers, the following will be more usual:

Example: COPY/VOL ($e)   c.1

All numbers and years must be written out in full except for years following a slash, which generally have only two digits:

CORRECT	INCORRECT
1982-1985	1982-5
1973-1981	1973-81
15-19	15-9
1967/68-1969/70	1967/68-69/70
102-193	102-93

Additional abbreviations and words may be used in the copy/vol statement if present in Appendix B of the current version of Angle-American Cataloging Rules.

10. Price: Enter as xxx.xx (where x = a number). Do NOT include dollar sign.

11. Fill in other fields as needed.

B. Indirect Input to Horizon

1. 949 Tag Format Specifications

Properly formatted MARC records may be loaded into the VLC database using the Horizon import source after Horizon has been searched to verify that the title is not already available.

Items information should be input to the 949 tag subfields using the following format so that items records will be automatically created. This format may be used for serial as well as non-serial items. When entering non-serial information you may ignore any fields that are serials specific.

The data for each field in the Horizon items record should be entered starting with a delimiter symbol used by your bibliographic utility and a subfield designator. The following examples use "$" as the delimiter symbol.

Delimiter		Subfield Name	Example
	$b	Barcode	$b33243000000753
*	$c	Collection Code	$cBPREF
*	$d	Call Number	$d641.5 Smith
	$e	Copy/Vol/Year	$ec.1
*	$n	Location	$nBPI
	$p	Price (do not include dollar sign but do include decimal)	$p12.95
*	$t	Item Loan Type	$tBLBK
	$u	General Notes	

* = required fields
If other fields are necessary, contact the VLC.

Sample 949 Tag:

949 10 $b33243000000753$cBPREF$d641.5 Smith$ec.1$nBPI$p12.95$tBLBK

2. Rules for Creation of 949 tags

The following rules apply to the creation and use of 949 tags and subfields to be used by *Horizon* for the creation of items records:

a. Any spaces entered in the MARC record (e.g. Call Number) will also appear in the items record.

b. If a barcode is not included in the $b, the Horizon system will generate a barcode based on a pattern of 'mq' followed by the item# (i.e. mq3517903).

c. If more than one items record is to be attached to a BIB record, the data for each item should be entered in a separate 949 tag. Multiple 949 tags may be included up to a limit of 100 before a new BIB record is required. There is no limit to the number of Horizon items records attached to one Horizon BIB when added directly through Horizon.

d. When inputting price, do not use a dollar sign"$", but do include the decimal point (i.e. 5.00 for $5.00)

III. SERIALS RECORDS

   A. Copy Record Information

     The information provided on the copy record governs the public catalog display, the claiming function, and the check-in function of the system. Each serial title received in multiple physical formats must have a separate copy record for each physical format.

     When a title is withdrawn from a member library's collection, the accompanying copy record (s) and item(s) should be deleted.

     When a title change occurs the old title copy record (s) should be set to "not currently received". A note should be placed in the public note field of all copy records referring the user to the current title.   When the issues of the old title are discarded, the copy record(s) should be deleted.

   B. Publication Pattern Information

     The publication pattern determines the prediction of issues used in the check-in function of the module. The Horizon system allows each member library to create individual publication patterns. Member libraries needing a new chronology pattern should contact the VLC staff.

  C. Summary of Holdings Information

     Horizon Serials maintains a summary of holdings for serials titles that are currently received. Summary of holdings appears in the Bibliographic Detail window for the title. Serials automatically maintains summary of holdings for only those issues with a copy record flagged for summary of holdings and checked in through SCKI.

  D. ITEM RECORDS INFORMATION

     Whether or not your library intends to circulate serials, it is necessary to create at least one item record. This will activate the ownership icon in the public catalog

IV. BORROWER RECORDS

Each institution is responsible for maintaining its own borrower records on the VLC database. Borrowers will be required to register separately at each VLC library. Therefore, it is possible to have multiple records for the same borrower in the database. The borrower record created by each library is only searchable/accessible by that library with the exception of a barcode search.

Horizon requires that data be entered in the following fields: borrower name, and borrower type. The system supplies the following required fields: borrower number, location, notice by, registration date, last updated, last CKO date, last authentication date, number of CKO's, and approval status. A member library may request that additional fields be required for its location. Contact the VLC for customization.

The borrower's name and address fields must be entered in all CAPITAL letters to comply with the U.S. Postal Service guidelines. All other borrower fields may be entered in upper and/or lower case. Do not include periods after abbreviations or initials when entering data in the NAME and ADDRESS fields.

A. Borrower Record Fields

1. Name: Enter the borrower's name using this format: last name, first name and middle initial in all capital letters. Titles such as JR or SR should be added at the end of the name with a preceding comma. Do not include periods after abbreviations or initials. Last names such as O'Leary should be entered with the apostrophe. Hyphenated last names such as Petulski-Gartner should be entered with the hyphen. Refer to the examples listed below for borrower name formatting.

    DOE, JOHN
    DOE, JOHN, JR
    PETULSKI-GARTNER, JOHN M, SR
    O'LEARY, JOAN

2. Address: This blink (set of fields) will accept more than one address for each borrower record. The address type must be entered in the appropriate value. Enter the apartment, suite or room number in line one of the address field. Enter the street information in line two. If the borrower provides only street information, enter it in line one. Do not include periods after abbreviations. Refer to the examples below for address formatting.

    Example 1:   Example 2:
    Line 1/ APT 822   Line 1/ 909 E MAIN ST
    Line 2/ 909 E MAIN ST

3. City, State: Enter the Horizon code for the city (e.g. SAG, BAY, MID). The complete name of the city and the state will automatically be entered in the field. Click on the CODES button if you need a list of the codes. If the location you need is not listed, enter "temp" to complete the record. You must also contact the VLC in order to add the codes for the location not listed.

4. Postal Code: Enter the borrower's postal code. The system accepts either a five-digit code or a nine-digit code.

    48798   48798-1001

5. Borrower Loan Type: Enter one of your library's valid borrower loan type codes. Click on the CODES button to see the list of codes.

6. Borrower Stat Class: Enter one (or more) borrower statistical class codes. Click on the CODES button to see the list of codes.

7. Additional Borrower Fields: The remaining borrower record fields are optional and should be entered as dictated by your library's policies.

B. For additional information, refer to the *Horizon Circulation User's Guide*

V. NEWSPAPER INDEX DATABASE

1. Introduction

The Newspaper Index database enables libraries to provide patrons with an index to their local newspaper. The records include the title of the article, an abstract, page, section, column numbers, and dates.

Choice of subjects to index will remain up to the individual libraries. Some examples are:

Major sports events
Major accidents and disasters
Major crimes
Vital statistics – obituaries, marriages, births, divorces
Local governments and elections
Local businesses and industries
State and national events that affect the local area
People

Guidelines for Subject Headings – choosing the appropriate Library of Congress subject heading

a. Use the most specific subject headings that are applicable

b. Use as many subject headings as necessary to cover the contents of the particular article

c. Be consistent

d. Check the database to see if the subject headings chosen are already in use

e. If it is necessary to add a new authority record use the appropriate MARC tag. Consult the chapter on authority records in the Horizon Cataloging Manual for methods of entry

f. Use a local phone book and/or phone call to verify the correct form of a named entity such as a business or government agency

g. Use chronological and geographical subdivisions as currently established in the database

h. Use "see" and "see also" references to increase accessibility

	* CRM required
NEWSPAPER	* Searchable field

MARC tag 900 Newspaper - Name/Publisher

1. Name of the newspaper you are indexing

Example: Saginaw News, Bay City Times, Midland Daily News

EDITION

MARC tag 901 Newspaper - Edition

1. Edition of the paper being indexed

2. Always use the same edition

Example: Second
                   Final

*CRM required
DATE   * Searchable field
_____

MARC tag 902 Newspaper - Date

    1. Enter the date of the newspaper

    2. Enter the complete year, the number of the month, then the day

    Example: 1997 7 17

*CRM required
TITLE   * Searchable field
_____

MARC tag 903 Newspaper - Title

    1. Title of the article exactly as written in the newspaper

    2. Enter title in all caps

    3. Enter the proper filing indicator

    Example: 903_ 4 THE DETROIT TIGERS WIN THE WORLD SERIES

* CRM required
SUBJECT   * Searchable field
_____

MARC tag 904 Newspaper - Subject Added Entry   (Authority controlled)

    1. Subject(s) of the article

    2. Use Library of Congress Subject Headings and follow the Anglo-American Cataloging
       Rules.

    3. Enter names as needed for subjects

Examples:
    Sacred Heart Catholic Church (Saginaw, Mich.)
    Bay County Library System (Bay County, Mich.)
    Jablonski, T. J.
    Bay City (Mich.) – Economic conditions
    Saginaw Bay (Mich.)
    Traffic accidents – Michigan – Saginaw County
    Michigan. Family Independence Agency

ABSTRACT   * Searchable field

MARC tag 905 Newspaper - Abstract

    1. Option: add a short summary of the article or use subtitle

    2. Use all Standard Newspaper Terms that apply

    Examples: Chart, Editorial, Graph, Illustration, Letter to Editor, Map, Photograph, Table

AUTHOR   * Searchable field

MARC tag 906 Newspaper - Author/Primary Name (Authority controlled)

    1. The author of the text, if desired–

    Example: Bellinger, Denise

PAGE   *CRM required

MARC tag 907 subfield a Newspaper - Page

    1. The beginning page number of the article

    2. Include section letter with page number

    Example: 3b, D14

LOCATION

MARC tag 915 Newspaper – Location entering the record

      (Set in Work Form)

VI. INTERLIBRARY LOAN

In order to facilitate the successful lending and borrowing of items among VLC member libraries, all members should adhere to the following policies. These policies only pertain to interlibrary loans amongst Valley Library Consortium member libraries.

A. Fines

Fines are charged for overdue interlibrary loan materials at the discretion of the transaction library, and the transaction library keeps all fines collected from these materials. However, these fines are based on the policies of the owning library. Any member library wishing to receive a report of the member libraries' fees policies should contact VLC. This report will not be made available on a routine basis.

B. Lost and Paid Status

VLC will send a "Report of Lost ILL' twice a year to each member library listing the items they own which have been lost while on loan to another library. This report will include the borrower and item barcodes as well as title and transaction library information. The owning library bills the transaction library based on this report. The transaction library then pays the bill but the item remains on Horizon with the status of "Lost" until the system automatically moves it to "Missing". DO NOT DELETE THE ITEM OR CHANGE THE ITEM'S STATUS TO "LOST AND PAID" OR "CHECKED IN", as this will remove the link between the item and the patron's Burb. Libraries should not change an item's status to "Checked In" unless they actually have the item in hand and should not pay for a lost item until the owning library bills them.

C. Damaged Items

If an ILL item comes back to the transaction library damaged (this includes an item with missing pieces as in the case of audiobooks), the transaction library sets the status of that item to "Lost" and then puts a note in the borrower's record that the item was returned damaged. The transaction library then calls the owning library to determine if full or partial payment will be due.

If the owning library does not need to inspect the item:
If the owning library only requires partial payment, the transaction library then checks the item in using damaged mode and sends the item back addressed to the ILL person at the owning library with a note detailing the damage. If the item is beyond repair/replacement and the owning library requires full payment, then the item should never be checked in so it will remain as lost on the borrower's record. Eventually the item will appear as lost on the Lost ILL report and the transaction library will receive a bill for the item.

If the owning library needs to inspect the item:
The item should be returned to the owning library, who will inspect the item and contact the transaction library to tell them the amount to be charged or that the item is damaged beyond repair. In the case where the item is only damaged, the owning library should NOT check the item in until the transaction library has done a damaged check in. If the item is beyond repair/replacement and the owning library requires full payment, then the item should never be checked in so it will remain as lost on the borrower's record. Eventually the item will appear as lost on the Lost ILL report and the transaction library will receive a bill for the item.

D. Yellow Bands

The yellow VLC flags should be used for all ILL items going to VLC member libraries. Books should be wrapped with the long version of the flag and the ends taped together inside the front cover or tucked under the edges of the book jacket. The smaller flag should be used for CDs, videos and cassettes. The smaller flag may be put between the jewel case and the paper cover (when possible) or taped to the cover of these items using removable tape. Flags should be easily seen, not cover the item's barcode (if possible) and have the code for the library to which it is being sent clearly circled. When returning items, be sure to cross off any previously circled agency codes and clearly mark the code for the new destination.

E. Dead Requests

An "Unfilled Requests" Report will be sent periodically to member libraries in order that they can inform their patrons of a request that it is no longer possible to fill.

F. Request Pull List

This list needs to be run at least once a day. Libraries with reduced hours should run the report as often as possible.